PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031  U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  TRADE DE		
Patrick	Application Number	10/727,418
TRANSMITTAL	Filing Date	December 4, 2003
FORM	First Named Inventor	NANGALIA, Rishi
	Art Unit	3621
(to be used for all correspondence after initial filling	Examiner Name	Cangialosi, Salvatore A.
Total Number of Pages in This Submission	29 Attorney Docket Number	G08.071
ENCLOSURES (Check all that apply)		
Fee Transmittal Form	Drawing(s)	After Allowance communication to (TC)
Fee Attached	Licensing-related Papers	Appeal Communication to Board of Appeals and Interferences
Amendment / Reply	Petition	Appeal Communication to TC (Appeal Notice, 2 <sup>nd</sup> Brief, Reply Brief)
After Final	Petition to Convert to a Provisional Application	Proprietary Information
Affidavits/declaration(s)	Power of Attorney, Revocation Change of Correspondence	Address
Extension of Time Request	Terminal Disclaimer	X Other Enclosure(s) (please identify below): Notice of Appeal Letter and Acknowledgement Postcard
Express Abandonment Request	Request for Refund	
Information Disclosure Statement	CD, Number of CD(s)	
Certified Copy of Priority Document(s)	Landscape Table on G	CD

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Name Buckley, Maschoff & Talwalkar Signature Nathaniel Levin Printed name 34,860 Reg. No. April 18, 2006 Date

CERTIFICATE OF TRANSMISSION/MAILING

## I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Appeal Brief – Patents, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

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Reply to Missing Parts/ Incomplete Application

Reply to Missing Parts under 37 CFR 1.52 or 1.53

**Edith Martin** 

April 18, 2006 Date

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appellants: NANGALIA et al.

Application Serial No.: 10/727,418

Filing Date: December 4, 2003

For: METHODS AND APPARATUS FOR

ROUTING SECURITIES ORDERS

Group Art Unit: 3621

Examiner: Salvatore A. Cangialosi

**NOTICE OF APPEAL Letter** 

Attorney Docket No.: G08.071

PTO Customer Number 28062

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New Canaan, CT 06840

**CERTIFICATE OF MAILING UNDER 37 CFR 1.8** 

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Dated: April 18, 2006

y: <u>~</u>

Mail Stop Appeal Brief - Patents Commissioner for Patents P.O. Box 1450 Alexandria VA 22313-1450

Sir:

Applicants hereby appeal to the Board of Patent Appeals and Interferences from the decision of the Examiner in the Non-Final Office Action mailed April 11, 2006 (the "2006 Office Action").

Since the fees have already been paid--\$500.00 for the 1<sup>st</sup> Notice of Appeal (filed December 6, 2005) and another \$500.00 the 1<sup>st</sup> Appeal Brief (filed January 26, 2006)--Applicants believe that no fee is now due.

Application Serial No.: 10/727,418 Attorney Docket No.: G08.071

However, if any additional fees are due in conjunction with this matter, the Commissioner is hereby authorized to charge them to Deposit Account <u>50-1852</u>.

Respectfully submitted,

April 18, 2006 Date Nathaniel Levin

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